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SUBSTITUTE FORM PTO-1390

U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE

ATTORNEY'S DOCKET NUMBER  
1662.012US1

(REV 01-99)

TRANSMITTAL LETTER TO THE UNITED STATES  
DESIGNATED/ELECTED OFFICE (DO/EO/US)  
CONCERNING A FILING UNDER 35 U.S.C. 371

U.S. APPLICATION NO. (If known, see  
37 CFR 1.51)  
UNKNOWN 10/553633

INTERNATIONAL APPLICATION NO.  
PCT/US2003/012276

INTERNATIONAL FILING  
DATE  
April 19, 2003

PRIORITY DATE CLAIMED  
April 19, 2003

TITLE OF INVENTION :POSTNATAL STEM CELLS AND USES THEREOF

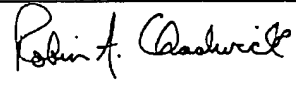
APPLICANT(S) FOR DO/EO/US :  
Songtao Shi et al.

Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:

1. ☒ This is a **FIRST** submission of items concerning a filing under 35 U.S.C. 371.
2. This is a **SECOND** or **SUBSEQUENT** submission of items concerning a filing under 35 U.S.C. 371.
3. ☒ This is an express request to begin national examination procedures (35 U.S.C. 371 (f)) at any time rather than delay examination until the expiration of the applicable time limit set in 35 U.S.C. 371(b) and PCT Articles 22 and 39(1).
4. The US has been elected by the expiration of 19 months from the priority date (Article 31).
5. ☒ A copy of the International Application as filed (35 U.S.C. 371(c)(2))
  - a. is transmitted herewith (required only if not transmitted by the International Bureau).
  - b. ☒ has been transmitted by the International Bureau.
  - c. is not required, as the application was filed in the United States Receiving Office (RO/US).
6. A translation of the International Application in to English (35 U.S.C. 371(c)(2)) (pgs.).
7. ☒ Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3)).
  - a. are transmitted herewith (required only if not transmitted by the International Bureau).
  - b. have been transmitted by the International Bureau.
  - c. have not been made; however, the time limit for making such amendments has NOT expired.
  - d. ☒ have not been made and will not be made.
8. A translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).
9. ☒ An **UNSIGNED** oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)).
10. A translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371(c)(5)).

Items 11. to 16. below concern document(s) or information included:

11. ☒ An Information Disclosure Statement under 37 CFR 1.97 and 1.98, with Form 1449, and copies of seven (7) cited documents and a copy of the PCT International Search Report.
12. ☐ An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.
13. ☒ A **FIRST** preliminary amendment (8 pages).
14. A substitute specification ( ☐ pgs), with ☐ sheets of original drawings, and a marked-up version of the substitute specification ( ☐ pgs).
15. ☒ Communication Under 37 CFR 1.821 (1 pg.); Sequence Listing 3 (pgs.); and Sequence Listing in ASCII Computer Readable Form (1 disk).
16. ☒ International Patent Application No. PCT/US2003/012276 (44 pgs.).  
Drawings (11 pgs.).  
International Search Report (6 pgs.).  
PCT Request (6 pgs.).  
Demand and Notification of Receipt of Demand by Competent International Prel. Examining Authority (5 pgs.)  
Notification of Recording of a Change (2 pgs.)

U.S. APPLICATION NO. (if known, see 37 CFR 1.5) Unknown <b>10/553633</b>		INTERNATIONAL APPLICATION NO. PCT/US2003/012276		ATTORNEY'S DOCKET NUMBER 1662.012US1	
17. <input checked="" type="checkbox"/> The following fees are submitted:  <b>BASIC NATIONAL FEE (37 CFR 1.492 (a) (1) - (5)):</b>  Neither international preliminary examination fee (37 CFR 1.482) nor international search fee (37 CFR 1.445(a)(2)) paid to USPTO and International Search Report not prepared by the EPO or JPO <b>\$1,080.00</b>  International preliminary examination fee (37 CFR 1.482) not paid to USPTO but International Search Report prepared by the EPO or JPO <b>\$920.00</b>  International preliminary examination fee (37 CFR 1.482) not paid to USPTO but international search fee (37 CFR 1.445(a)(2)) paid to USPTO <b>\$770.00</b>  International preliminary examination fee paid to USPTO (37 CFR 1.482) but all claims did not satisfy provisions of PCT Article 33(1)-(4) <b>\$730.00</b>  International preliminary examination fee paid to USPTO (37 CFR 1.482) and all claims satisfied provisions of PCT Article 33(1)-(4) <b>\$100.00</b>  <div style="text-align: right;"><b>ENTER APPROPRIATE BASIC FEE AMOUNT</b></div>				<b>CALCULATIONS PTO USE ONLY</b>	
Surcharge of <b>\$130.00</b> for furnishing the oath or declaration later than <u>  </u> 20 <input checked="" type="checkbox"/> 30 months from the earliest claimed priority date (37 CFR 1.492(e)).				<b>\$ 130.00</b>	
CLAIMS	NUMBER FILED	NUMBER EXTRA	RATE		
Total claims	43 - 20 =	23	X <b>\$50.00</b>	<b>\$ 1,150.00</b>	
Independent claims	6 - 3 =	3	X <b>\$200.00</b>	<b>\$ 600.00</b>	
MULTIPLE DEPENDENT CLAIM(S) (if applicable)			+ <b>\$360.00</b>	<b>\$</b>	
<b>TOTAL OF ABOVE CALCULATIONS</b>				<b>\$ 2,610.00</b>	
Reduction of ½ for filing by small entity, if applicable.				<b>\$</b>	
<b>SUBTOTAL</b>				<b>\$ 2,610.00</b>	
Processing fee of <b>\$130.00</b> for furnishing the English translation later than <u>  </u> 20 <u>  </u> 30 months from the earliest claimed priority date (37 CFR 1.492(f)).				<b>\$</b>	
<b>TOTAL NATIONAL FEE</b>				<b>\$ 2,610.00</b>	
Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). <b>\$40.00</b> per property.				<b>\$</b>	
<b>TOTAL FEES ENCLOSED</b>				<b>\$ 2,610.00</b>	
				<b>Amount to be:</b>	
				<b>refunded</b>	<b>\$</b>
				<b>charged</b>	<b>\$ 2,610.00</b>
a. Check in the amount of \$40.00 to cover the above fee for the Assignment Recordation is enclosed.  b. <input checked="" type="checkbox"/> Authorization to charge to Deposit Account No. 19-0743 in the amount of \$2,610.00 to cover the above fee for the filing fee.  c. <input checked="" type="checkbox"/> The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. <u>19-0743</u> .  <b>NOTE: Where an appropriate time limit under 37 CFR 1.494 or 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed and granted to restore the application to pending status.</b>					
SEND ALL CORRESPONDENCE TO:  SCHWEGMAN, LUNDBERG, WOESSNER & KLUTH, P.A. P.O.Box 2938 Minneapolis, MN 55402					
				SIGNATURE  NAME: Robin A. Chadwick REGISTRATION NUMBER: 36,477	

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re Patent Application of: Songtao Shi et al.

Title: POSTNATAL STEM CELLS AND USES THEREOF

Attorney Docket No.: 1662.012US1

Customer No.: 21186

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**PATENT APPLICATION TRANSMITTAL**

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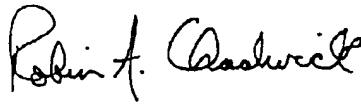
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

We are transmitting herewith the following attached items and information (as indicated with an "X"):

- ☒ A Transmittal Letter to the DO/EO/US (and duplicate copy thereof) concerning a PCT – U.S. National Stage filing under 35 U.S.C. § 371.
- ☒ Copy of International Application No. PCT/US2003/012276 as published (44 pgs. - including 58 claims)
- ☒ Formal Drawing(s) (11 sheets).
- ☒ UNSIGNED Combined Declaration and Power of Attorney (4 pgs).
- ☒ Incorporation by Reference: *The entire disclosure of the prior application, PCT/US2003/012276, filed April 19, 2003 and published as WO 2004/094588 A2, is considered as being part of the disclosure of the accompanying application and is hereby incorporated by reference therein.*
- ☒ Authorization to charge to Deposit Account No. 19-0743 in the amount of \$2,610.00 to pay the filing fee.
- ☒ Information Disclosure Statement (2 pgs), Form 1449 (1 pgs); copies of 7 cited documents and a copy of the International Search Report.
- ☒ Preliminary Amendment (9 pgs.)
- ☒ International Search Report (6 pgs.)
- ☒ PCT Request (6 pgs.).
- ☒ Demand and Notification of Receipt of Demand by Competent International Prel. Examining Authority (5 pgs.).
- ☒ Notification of the Recording of a Change (2 pgs.)
- ☒ Communication Under 37 CFR 1.821 (1 pg.); Sequence Listing (3 pgs.); and Sequence Listing in ASCII Computer Readable Form (1 disk).
- ☒ Return postcard.

Please charge any additional required fees or credit overpayment to Deposit Account No. 19-0743.

SCHWEGMAN, LUNDBERG, WOESSNER & KLUTH, P.A.  
Customer Number: 21186

By:   
Atty: Robin A. Chadwick  
Reg. No. 36,477

"Express Mail" mailing label number: EV 553 982 264 US

Date of Deposit: October 18, 2005

This paper or fee is being deposited on the date indicated above with the United States Postal Service pursuant to 37 CFR 1.10, and is addressed to The Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.